

## **CHAPTER 21 - MISHAP REPORTING**

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### **21.1 SCOPE**

This chapter sets forth the policy and procedures for reporting on mishaps that occur during Glenn operations and in which NASA or contractor personnel, the public and/or NASA property are involved.

### **21.2 APPLICABILITY**

The provisions of this chapter are applicable to the Glenn Research Center at Lewis Field and Plum Brook Station.

## **21.3 AUTHORITY**

- 29 CFR Part 1904, Recording and Reporting Occupational Injuries and Illnesses (U.S. Department of Labor, Occupational Safety and Health Administration, (OSHA)).
- 49 CFR Part 830, Notification and Reporting of Aircraft Accident or Incidents and Overdue Aircraft, and Preservation of Aircraft Wreckage, Mail, Cargo, and Records.
- NPR 8621.1A, NASA Procedural Requirements for Mishap Reporting, Investigating and Recordkeeping.
- NASA Federal Acquisition Regulation (FAR) Supplement (NFS) Part 1807, Acquisition Planning.
- NFS Part 1852.223-70, Safety and Health
- Incident Reporting Information System (IRIS).

## **21.4 POLICY**

Glenn Research Center (GRC) policy requires prompt reporting and documentation of mishaps or close calls (including mission failures and workplace hazards) that occur during Glenn operations.

## **21.5 RESPONSIBILITIES**

### **21.5.1 Employees**

- a. If witness to, or involved in a NASA mishap or close call, immediately notify emergency response of the need for assistance. From an internal NASA phone, dial 911. From a pay phone or cell phone, dial (216) 433-8888 at Lewis Field and (419) 621-3222 at Plum Brook Station. For non-emergencies, dial (216) 433-2088.
- b. Provide as much information as possible to the investigating authority.

### **21.5.2 Supervisors**

- a. Immediately contact the Glenn Safety Office at 3-6735 when a mishap or close call occurs.
- b. Support the incident commander as required.
- c. Shall complete the Supervisor's Incident Report (SIR) or Safety Incident Report and submit to the Glenn Safety Office within 10 working days.
- d. Initiate drug testing after a mishap if the mishap results in a fatality or personal injury requiring immediate hospitalization or in damage estimated to be in excess of \$10,000 to government or private property.

### **21.5.3 Glenn Safety Office (GSO) Chief**

- a. Ensure that GRC's employees are familiar with the roles and responsibilities as documented within this Chapter.
- b. Report the mishap to Headquarters per the reporting requirements defined in NPR 8621.1A and to OSHA (when applicable).
- c. Support the incident commander as he/she safes and secures the mishap site.
- d. Advise the supervisor that drug testing should be initiated
- e. Shall ensure that all mishaps and close calls information is entered in the Incident Reporting Information System (IRIS)
- f. Evaluate mishap reports for possible Lessons Learned.

### **21.5.4 Incident Reporting Information System (IRIS) Site Administrator**

- a. New user coordination/access criteria/security validation
- b. Provide technical expertise on use of IRIS
- c. First line help desk function for users at the site
- d. Site configuration management
- e. An active participant in implementing IRIS Enhancement through the users group and act as the change review board and configuration control board.
- f. Responsible for review of records and quality assurance.
- g. Pulls incident logs from IRIS by report source and provides to Safety Office Chief.
- h. Prepares monthly Headquarters report from IRIS.
- i. Ensure that mishaps involving injury or illness to NASA civil service employees are recorded on the OSHA 300 Log as required by 29 CFR Part 1904.7.
- j. Cross check and review available Workers Compensation files to resolve any data discrepancies.

### **21.5.5 Glenn Safety Office Point of Contacts**

- a. Responsible for creating a Safety Incident case and beginning investigation.
- b. Shall ensure that the information recorded in IRIS is updated as new information becomes available and, at a minimum, verify information is up to date once every 30 days until the investigation is complete
- c. Documents corrective actions and their status in IRIS.
- d. Attaches relevant documentation to IRIS case.
- e. Prepares case for closure.
- f. Recommends case closure to chief GSO.

### **21.5.6 Occupational Medicine Services (OMS)**

- a. Responsible for providing the medical or pathological information required fulfilling the requirements of this Chapter under the Privacy Act of 1974.
- b. Responsible for providing any necessary occupational health support required by other GRC organizations to fulfill any of the responsibilities of this Chapter.
- c. Responsible for retaining medical reports in confidential/privileged files so that inadvertent release is prevented.
- d. Inform the employee's supervisor and the Chief, GSO immediately of a fatality or of a suspected disabling injury or illness.
- e. Create an IRIS case file when an employee has an occupational injury/illness and is seen at Medical Services.
- f. Notify Glenn Safety Office and employee's supervisor that an employee was seen at Medical Services.

### **21.5.7 Environmental Management Office (EMO)**

The Environmental Management Office is responsible for investigating occupational health and environmental incidents and providing support, as required, for mishap investigations.

### **21.5.8 Security Management and Safeguards Office (SMSO)**

Security shall support GSO in securing the mishap site and impounding data, records, equipment, and facilities.

### **21.5.9 Office of Chief Counsel**

- a. When applicable, provide legal guidance in how to protect the privileged status of witness statements, witness testimony, or other matters related to a mishap.
- b. Review mishap information or reports before they are released from GRC control to make sure the facts are properly documented and that matters of confidentiality are not violated before release of the information.

### **21.5.10 Community and Media Relations Office**

- a. When applicable, review and prepare mishap information to make sure that the facts are correct and can be released to the news media or other organizations outside GRC.
- b. Protect the privileged status of witness statements, witness testimony, and other matters related to a mishap under the Legal Office ground rules.

- c. Follow the procedures for public announcements by NASA found in agreements with other agencies or contractors when releasing mishap information.

#### **21.5.11 Contracting Officers**

- a. Incorporate applicable mishap and close call reporting procedures detailed in the NASA Federal Acquisition Regulation Supplement (NFS) into contracts covering NASA programs and operations. (Reference [1852.223-70 Safety and Health](#)).
- b. Must ensure that GRC contractors understand and follow NASA and GRC contract requirements for reporting mishaps and close calls.
- c. Involve safety, health and mission assurance personnel in the acquisition strategy planning activities for proposed contracts as detailed in [NFS Part 1807. “Acquisition Planning.”](#)

#### **21.5.12 Workers Compensation**

Recording an injury or illness neither affects a person’s entitlement to worker’s compensation nor proves a violation of an OSHA rule. The rules for compensability under worker’s compensation differ from state to state and do not have any effect on whether or not a case needs to be recorded on the OSHA 300 log. Many cases will be OSHA recordable and compensable under worker’s compensation. However, some cases will be compensable but not OSHA recordable, and some cases will be OSHA recordable but not compensable under worker’s compensation.

### **21.6 MISHAP RESPONSE**

#### **21.6.1 Emergency Mishap Notification and Response Procedure**

The initial response by personnel in the area when a mishap occurs is very critical. If persons(s) are involved in a mishap, the first priority is to get assistance by calling 911 on a NASA phone or by pulling the nearest manual fire alarm box. From pay phone or cell phone dial (216) 433-8888 at Lewis Field or (419) 621-3222 at Plum Brook Station. The current Emergency Preparedness Plan can be found at <http://gso.grc.nasa.gov/epp/epp.asp>.

### **21.7 GRC MISHAP REPORTING REQUIREMENTS**

When an incident occurs, any of a number of people and organizations may have initial information about the case. Each NASA and contractor employee on NASA property or custodian of NASA assets elsewhere, is responsible for reporting mishaps and close calls within 24 hours using the Quick Incident Button in the Incident Reporting Information System (IRIS).

### **21.7.1 Incident Reporting Information System (IRIS)**

IRIS is a comprehensive NASA agency wide web based system that provides the following: 1) Tracks information on all occupational and non-occupational (personal) injuries and illnesses and 2) Manages information about events or conditions of environmental, health or safety significance. Functionality includes hazard tracking and “quick incident” reporting (including electronic anonymous reporting and tracking).

### **21.7.2 GRC Mishap Reporting using IRIS**

Employees may report a safety and injury/illness concerns without possessing an IRIS user account. This capability (which included an anonymous reporting option) helps ensure that all incidents are entered into the system in a timely fashion. The Quick Incident menu, located at <https://nasa.ex3host.com/iris/newmenu/login.asp> is shown as illustrated below:



Any individual with web access can report concerns as follows:

- a. Click on the Safety area to submit a Hazards, Close Call, First Aid Only, Mishap, or Mission Failure.
- b. Click on the Health area to submit a report of injury/illness (This option is primarily for use by Medical Services).
- c. Click on the Track area to track the status of a Safety or Health Incident.

### **21.7.3 Accessing IRIS**

There are 3 methods to access IRIS;

- a. Go to GRC Wing page and type in IRIS in the transport box.
- b. Or, click on IRIS link located on GRC Wing page under Safety Workplace
- c. Or, type in the address area the following link  
<https://nasa.ex3host.com/iris/newmenu/login.asp>.

### **21.7.4 Retention of Mishap Reports and Records**

Mishap reports and associated records will be retained in IRIS in accordance with NPG 1441.1C, "[NASA Records Retention Schedules](#)". Testimony data will be retained in a confidential/privileged file in IRIS.

## 21.8 OTHER NASA SAFETY REPORTING LINKS

You should first report any hazard or safety concern using IRIS. Both of these NASA Safety Reporting Links are a supplement to Glenn's reporting channel.

**NASA Safety Reporting System (NSRS)** - A confidential, voluntary, and responsive safety reporting system that provides a direct channel for NASA employees and contractors to notify the NASA Safety and Risk Management Division of safety concerns. The NSRS enables safety personnel to identify safety problems and implement corrective actions independently. The NSRS forms can be found at each building in a designated area. The link to the NSRS web site is at <http://www.hq.nasa.gov/nsrs>

**Lessons Learned** - Knowledge or understanding gained by experience. The experience may be positive, as in a successful test or mission, or negative, as in a mishap or failure. Successes are also considered sources of lessons learned. A Lesson Learned must be significant in that it has real or assumed impact on operations; valid in that it is factually and technically correct; and applicable in that it identifies a specific design, process, or decision that reduces or eliminates the potential for failures and mishaps, or reinforces a positive result. The link to the Lessons Learned web site is at <http://llis.gsfc.nasa.gov/>.

## 21.9 DEFINITIONS

**Close Call** - An occurrence or a condition of employee concern in which there is no injury or only minor injury requiring first aid and no significant equipment/property damage/mission failure (less than \$1,000) but which possesses a potential to cause a mishap.

**Corrective Actions** – Changes to design processes, work instructions, workmanship practices, training, inspections, tests, procedures, specifications, drawings, tools, equipment, facilities, resources, or material that result in preventing, minimizing, or limiting the potential for recurrence of a mishap.

**Incident** – An occurrence of a mishap or close call.

**Lost Time Injury/Illness** – A nonfatal traumatic injury that causes any loss of time from work beyond the day or shift it occurred; or a nonfatal nontraumatic illness/disease that causes disability at any time.

**NASA Contractor or Grantee Mishap or Close Call** – Any mishap or close call that a NASA contractor/grantee is required to report or investigate due to the provisions of its contract.

**NASA Mishap** – An unplanned event that results in at least one of the following:

- a. Injury to non-NASA personnel, caused by NASA operations.
- b. Damage to public or private property (including foreign property), caused by NASA operations or NASA funded development or research projects.
- c. Occupational injury or occupational illness to NASA personnel.
- d. NASA mission failure.
- e. Destruction of, or damage to, NASA property except for a malfunction or failure of component parts that are normally subject to fair wear and tear and have a fixed useful life that is less than the fixed useful life of the complete system or unit of equipment, provided that the following are true: 1) there was adequate preventative maintenance; and 2) the malfunction or failure was the only damage and the sole action is to replace or repair that component.

**Type A Mishap** - A mishap resulting in one or more of the following: (1) an occupational injury or illness resulting in a fatality, a permanent total disability, or the hospitalization for inpatient care of 3 or more people within 30 workdays of the mishap; (2) a total direct cost of mission failure and property damage of \$1 million or more; (3) a crewed aircraft hull loss; (4) an occurrence of an unexpected aircraft departure from controlled flight (except high performance jet/test aircraft such as F-15, F-16, F/A-18, T-38, and T-34, when engaged in flight test activities).

**Type B Mishap** - A mishap that caused an occupational injury or illness that resulted in a permanent partial disability, the hospitalization for inpatient care of 1-2 people within 30 workdays of the mishap, or a total direct cost of mission failure and property damage of at least \$250,000 but less than \$1,000,000.

**Type C Mishap** - A mishap resulting in a nonfatal occupational injury or illness that caused any days away from work, restricted duty, or transfer to another job beyond the day or shift on which it occurred, or a total direct cost of mission failure and property damage of at least \$25,000 but less than \$250,000.

**Type D Mishap** - A mishap that caused any nonfatal OSHA recordable occupational injury and/or illness that does not meet the definition of a Type C mishap, or a total direct cost of mission failure and property damage of at least \$1,000 but less than \$25,000.

**Mission Failure** – A mishap of whatever intrinsic severity that, in the judgment of the Enterprise Associate Administrator (EAA), program/project manager, or the Administrator, Associate Administrator, Office of Safety and Mission Assurance (AA/OSMA), prevents the achievement of primary NASA mission objectives as described in the mission operations report or equivalent document.

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